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CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	09/913,613
Filing Date	08/15/2001
First Named Inventor	Vortkort
Title	Thermoplastic Vulcanizate
Art Unit	1713
Examiner Name	Cheung, William
Attorney Docket Number	12003022US

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TC 1700

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Name John H. Hornickel, Assistant Secretary

Signature

Date

December 29, 2003

Telephone

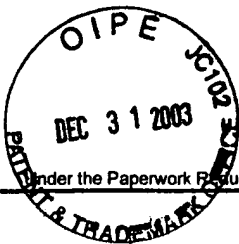
(440) 930-3317

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ \*Total of 2 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)

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Applicant/Patent Owner Poly One Corporation IAN 05 2004  
(Application No./Patent No.: 09/913,613 (Filed) Issue Date: August 15, 2001 TC 1700  
Entitled: Thermoplastic Vulcanizate and Its Method of Production  
Poly One Corporation, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014033, Frame 0084, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The document was recorded in the United States Patent and Trademark Office at  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

December 29, 2003  
Date  
(440) 930 - 3317  
Telephone number

John H. Hornickel  
Typed or printed name  
John H. Hull  
Signature  
Assistant Secretary  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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OCTOBER 09, 2003

POLYONE CORPORATION  
JOHN H. HORNICKE  
POLYONE CENTER  
AVON LAKE, OHIO 44012



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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/08/2003

REEL/FRAME: 014033/0084  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PHOENIX AKTIENGESELLSCHAFT

DOC DATE: 09/12/2003

ASSIGNEE:

POLYONE CORPORATION  
33587 WALKER ROAD  
POLYONE CENTER  
AVON LAKE, OHIO 44012

SERIAL NUMBER: 09913613  
PATENT NUMBER:

FILING DATE: 08/15/2001  
ISSUE DATE:

SERIAL NUMBER: 09297598  
PATENT NUMBER: 6221965

FILING DATE: 05/04/1999  
ISSUE DATE: 04/24/2001

JOANN STEWART, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

# PATENT ASSIGNMENT RECORDATION COVER SHEET

To the Commissioner for Patents

DEC 31 2003

Please record the attached original document or copy thereof.

1. Name of conveying party(ies):

Phoenix Aktiengesellschaft

Additional names of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

PolyOne Corporation  
PolyOne Center  
33587 Walker Road  
Avon Lake, Ohio 44012  
UNITED STATES OF AMERICA

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3. Nature of conveyance: ☒ Assignment

Execution Date(s): September 12, 2003

4. Application number or patent number:

☐ This document is being filed with a new patent application on:

☒ This document is to be recorded against the following patent application(s) or patent(s): U.S. Pat. No. 6,221,965 and U.S. Patent Application Serial No. 09/913,613

5. Name and address of party to whom correspondence concerning document should be mailed:

John H. Hornickel  
PolyOne Corporation  
PolyOne Center  
Avon Lake, Ohio 44012

6. Total number of applications and patents involved:

2

7. Total fee (37 CFR 3.41) . . . \$80.00

☐ Previously submitted ☐ Enclosed

☒ Please charge Deposit Account No. 07-1077.

8. Please charge any additional fees or credit any overpayment to Deposit Account No. 07-1077.

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John H. Hornickel, Reg. No. 29,393

Printed Name of Attorney

*John H. Hornickel*  
Signature

October 8, 2003

Date

Total number of pages including cover sheet, attachments, and document:

4

## ASSIGNMENT OF PATENT RIGHTS

KNOW ALL PERSONS BY THESE PRESENTS, that **PHOENIX AKTIENGESELLSCHAFT**, a German Company ("Seller"), pursuant to the terms of that certain Agreement made as of September 8<sup>th</sup>, 2003 (the "Agreement") between **PHOENIX COMPOUNDING TECHNOLOGY GMBH** ("PCT"), a German Company wholly owned by Seller and **POLYONE CORPORATION**, an Ohio USA Corporation ("Buyer"), for good and valuable consideration, does hereby sell, convey, assign, transfer, and set over and deliver to Buyer, and its successors and assigns forever, all of Seller's right, title, and interest in and to those certain Patents described in Appendix 3 to the Agreement, and attached hereto and incorporated herein, together with all continuing applications, re-examinations, reissues, and all other applications and patents claiming priority therefrom and the right to enforce any of such patents and receive all proceeds and other benefits from such enforcement.

The rights and obligations of PCT and Buyer set forth in the representations, warranties, agreements and other terms and provisions of the Agreement shall be neither limited, altered, or impaired nor enhanced nor enlarged hereby or by performance hereunder.

Seller hereby agrees, from time to time and upon the reasonable request of Buyer, to execute and deliver, in accordance with the Agreement, such other documents and take such other steps as may be reasonably necessary to effectuate the sale and conveyance evidenced hereby and to obtain the full benefit of this Assignment.

IN WITNESS WHEREOF, Seller has caused this Assignment of Patent Rights to be executed and delivered in its name by the undersigned duly authorized officer of Seller on September 12<sup>th</sup>, 2003.

SELLER:  
PHOENIX AKTIENGESELLSCHAFT

By:

Name: Dr. Burkhard Meister

Title: Executive Vice President

Meinhard Liebing

Executive Vice President

Accepted by:

PHOENIX COMPOUNDING TECHNOLOGY GMBH

By:

Name: Holger Oertel

Title: Managing Director

Accepted by BUYER:  
POLYONE CORPORATION

By: John H. Hill  
Name: John H. Hornickel  
Title: Assistant Secretary  
Date: 7 October 2003

### Appendix 3

1. Method for Producing a Thermoplastic Elastomer Material

USA Patent: U.S. Pat. No. 6,221,965

European Patent: EP 0 938 522 B1

Japanese Patent Application Serial No. 522035/98

and all other patent applications claiming priority from any of them.

2. Thermoplastic Vulcanizate and Its Method of Production

German Patent Application Serial No. 100 04 632 A1

European Patent Application Serial No. 00912348.0

Hungarian Patent Application Serial No. P105352

Polish Patent Application Serial No. P-349886

U.S. Patent Application Serial No. 09/913,613

Japanese Patent Application Serial No. 2000-599820

and all other patent applications claiming priority from any of them.

3. Thermoplastic Vulcanizate with Improved Surface Properties

German Patent Application 103 36 424.6

and all other patent applications claiming priority therefrom.